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TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371		ATTORNEY'S DOCKET NUMBER HUI-045CP2US
INTERNATIONAL APPLICATION NO. PCT/US2004/036641		U.S. APPLICATION NO. (if known, see 37 CFR 1.5) 10/578,402
INTERNATIONAL FILING DATE 3 November 2004		PRIORITY DATE CLAIMED 3 May 2001
TITLE OF INVENTION METHODS FOR MODULATING AN IMMUNE RESPONSE BY MODULATING KRC ACTIVITY		
APPLICANT(S) FOR DO/EO/US Laurie H. GLIMCHER <i>et al.</i>		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:		
<ol style="list-style-type: none"> 1. <input type="checkbox"/> This is a FIRST submission of items concerning a submission under 35 U.S.C. 371. 2. <input checked="" type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a submission under 35 U.S.C. 371. 3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below. 4. <input type="checkbox"/> The US has been elected (Article 31). 5. <input type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371 (c)(2)) <ol style="list-style-type: none"> a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> has been communicated by the International Bureau. c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US). 6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)). <ol style="list-style-type: none"> a. <input type="checkbox"/> is attached hereto. b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4). 7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) <ol style="list-style-type: none"> a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> have been communicated by the International Bureau. c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. d. <input type="checkbox"/> have not been made and will not be made. 8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). 9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). 10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)). 		
Items 11 to 20 below concern document(s) or information included:		
<ol style="list-style-type: none"> 11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98. 12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. 13. <input type="checkbox"/> A preliminary amendment. 14. <input type="checkbox"/> An Application Data Sheet under 37 CFR 1.76. 15. <input type="checkbox"/> A substitute specification. 16. <input type="checkbox"/> A power of attorney and/or change of address letter. 17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 – 1.825. 18. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4). 19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4). 		

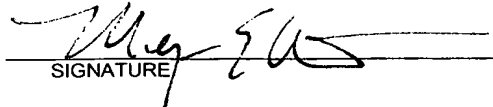
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- a. ☐ A check in the amount of \$ _____ to cover the above fees is enclosed.
- b. ☒ Please charge my Deposit Account No. 12-0080 in the amount of \$ 125.00 to cover the above fees.
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 12-0080. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038

NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.

SEND ALL CORRESPONDENCE TO:

Giulio A. DeConti, Jr., Esq.
LAHIVE & COCKFIELD, LLP
One Post Office Square
Boston, Massachusetts 02109-2127
(617) 227-7400


SIGNATURE

Megan E. Williams
NAME

CUSTOMER NUMBER: 00959

43,270
REGISTRATION NUMBER

Dated: November 21, 2006

Express Mail: Airbill No. EV 956470336 US



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
 United States Patent and Trademark Office
 Address: COMMISSIONER FOR PATENTS
 P.O. Box 1450
 Alexandria, Virginia 22313-1450
 www.uspto.gov

U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
10/578,402	Laurie H. Glimcher	HUI045CP2US

INTERNATIONAL APPLICATION NO.

PCT/US04/36641

I.A. FILING DATE	PRIORITY DATE
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11/03/2004

05/03/2001

00959

LAHIVE & COCKFIELD
 28 STATE STREET
 BOSTON, MA 02109

DOCKETED

NOV 25, 2006 missing pg.
 April 25, 2007 Esp. U.K. etc.

CONFIRMATION NO. 3013

371 FORMALITIES LETTER



OC000000020564170

Date Mailed: 09/25/2006

NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495).

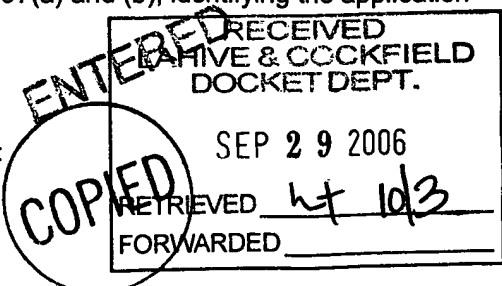
- Indication of Small Entity Status
- Copy of the International Application filed on 05/03/2006
- Copy of the International Search Report filed on 05/03/2006
- Preliminary Amendments filed on 05/03/2006
- Biochemical Sequence Diskette filed on 05/03/2006
- Biochemical Sequence Listing filed on 05/03/2006
- Small Entity Statement filed on 05/03/2006
- U.S. Basic National Fees filed on 05/03/2006
- Substitute Specification filed on 05/03/2006
- Priority Documents filed on 05/03/2006
- Specification filed on 05/03/2006
- Claims filed on 05/03/2006
- Abstracts filed on 05/03/2006
- Drawings filed on 05/03/2006

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.

SUMMARY OF FEES DUE:

Total additional fees required for this application is **\$125** for a Small Entity:



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SEP 29 2006
RETRIEVED <u>ht 10/3</u>
FORWARDED _____

- The fee for submitting a specification and drawing containing more than 100 pages has not been paid in full. Applicant owes \$125 for 33 pages in excess of 150 pages for a small entity in compliance with 37 CFR 1.27.

ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 32 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

VONDA M WALLACE

Telephone: (703) 308-9140 EXT 225

PART 1 - ATTORNEY/APPLICANT COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
10/578,402	PCT/US04/36641	HUI045CP2US

Express Mail Label No. EV 956470336 US Dated: November 21, 2006

Docket No. HUI-045CP2US
(PATENT)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:
Laurie H. Glimcher *et al.*

Application No. 10/578,402

Confirmation No. 3013

Filing Date of
International Application: November 3, 2004

Art Unit: Not Yet Assigned

For: METHODS FOR MODULATING AN
IMMUNE RESPONSE BY MODULATING
KRC ACTIVITY

Examiner: Not Yet Assigned

**RESPONSE TO NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C.
371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE**

MS PCT
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

In response to the Notification of Missing Requirements Under 35 U.S.C. 371, mailed September 25, 2006, Applicants respectfully submit an executed combined Declaration, Petition and Power of Attorney, payment of the additional application size fee due, and a copy of the Notification of Missing Requirements.

Please charge our Deposit Account No. 12-0080 in the amount of \$125.00 covering the fee set forth in 37 CFR 1.27. The Director is hereby authorized to charge any deficiency in the fees filed, asserted to be filed or which should have been filed herewith (or with any paper

hereafter filed in this application by this firm) to our Deposit Account No. 12-0080, under Order No. HUI-045CP2US.

Dated: November 21, 2006

Respectfully submitted,

By 

Megan E. Williams

Registration No. 43,270

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Attorney/Agent For Applicants

Certificate of Express Mailing Under 37 CFR 1.10

I hereby certify that this correspondence is being deposited with the United States Postal Service as Express Mail, Airbill No. EV 956470336 US in an envelope addressed to:

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Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

on November 21, 2006
Date



Signature

Megan E. Williams

Typed or printed name of person signing Certificate

43,270
Registration Number, if applicable

(617) 227-7400
Telephone Number

Note: Each paper must have its own certificate of mailing, or this certificate must identify each submitted paper.

Transmittal Letter to the US Designated-Elected Office (3 pages)
Copy of Notification of Missing Requirements (2 pages)
Response To Notification Of Missing Requirements (1 page)
Executed combined Declaration and Power of Attorney (3 pages)
This Certificate of Express Mailing (1 page)
Return Receipt Postcard

Charge \$125.00 to deposit account 12-0080